

**NAVAL POSTGRADUATE SCHOOL
Monterey, California**

Thesis Preparation Manual



November 14, 1999

Foreword

This Thesis Preparation Manual has been written to provide you with format and procedure guidance for preparing and processing your thesis at the Naval Postgraduate School. It covers both unclassified and classified theses. All theses and thesis technical reports must be prepared in accordance with these guidelines. Please note that this manual is *not* written in the thesis format.

If you have any questions or doubts about anything, please call the Thesis Processor at extension 2762 or 3050 *before* proceeding. Your question may save you from the inconvenience of retyping.

TABLE OF CONTENTS

I. GETTING STARTED.....	1
A. BEFORE YOU BEGIN	1
What kind of a thesis are you writing?	1
How to choose a word processor?	2
Are you using a thesis typist?.....	2
B. THESIS ORGANIZATION	3
Introductory Material.....	3
Body of Thesis	3
References	3
Appendices	3
Initial Distribution List	3
II. INTRODUCTORY MATERIAL.....	5
A. FRONT COVER.....	5
B. REPORT DOCUMENTATION PAGE.....	8
C. SIGNATURE PAGE	8
D. ABSTRACT PAGE.....	15
E. DISCLAIMER STATEMENT.....	15
F. TABLE OF CONTENTS	15
G. LIST OF FIGURES	16
H. LIST OF TABLES.....	17
I. LIST OF SYMBOLS, ACRONYMS, AND/OR ABBREVIATIONS.....	17
J. ACKNOWLEDGMENT.....	18
III. BODY OF THESIS.....	19
A. THESIS SECTIONS	19
1. Chapter Headings	19
2. Section Headings	21
3. Subsection Headings	21
4. Sub-subsection Headings	21
5. Headings for Subdivisions of Sub-subsections	21
B. PAGE FORMATTING.....	21
1. Margins and Font Size.....	21
2. Tab Settings and Indentations	22
3. Page Numbering	22
4. Line Spacing.....	23
C. REFERENCE CITATIONS	23

D.	FOOTNOTES AND ENDNOTES.....	24
1.	Footnotes	24
2.	Endnotes.....	25
E.	FIGURES	25
F.	TABLES.....	28
G.	EQUATIONS, DRAWINGS, GRAPHS, ETC.....	29
1.	Equations and Formulas	29
2.	Drawings	29
3.	Graphs.....	29
4.	Figure Reproductions	29
5.	Paste-ons.....	30
H.	PHOTOGRAPHS.....	30
1.	Taking photos by yourself.....	30
2.	Mounting materials	30
I.	QUOTATIONS.....	30
J.	LISTS	31
K.	LINE BREAKS AND PAGE BREAKS	32
L.	MISCELLANEOUS RULES.....	33
IV.	MATERIAL AFTER BODY OF THESIS	35
A.	APPENDICES	35
B.	LIST OF REFERENCES.....	35
C.	BIBLIOGRAPHY.....	36
D.	INITIAL DISTRIBUTION LIST	37
E.	DECIDING ON A DISTRIBUTION STATEMENT.....	38
F.	SPECIAL ABSTRACT	40
G.	LABELING YOUR DISK.....	41
H.	EXAMPLE FORMATS FOR REFERENCES.....	42
I.	CHECKLIST.....	45
V.	PROCEDURAL MATTERS.....	47
A.	GETTING THESIS APPROVALS	47
B.	PRINTING AND DISTRIBUTION	48
C.	THESIS ORIGINALS	48
D.	DEPARTURE PRIOR TO GRADUATION	48
E.	THESIS EXTENSIONS.....	48
VI.	CLASSIFIED THESES	51
A.	CLASSIFYING THESIS MATERIAL.....	51

B.	CLASSIFIED THESIS COVER.....	51
C.	TABLE OF CONTENTS	51
D.	MARKING THE DIVISIONS OF A CLASSIFIED THESIS	51
E.	PAGE CLASSIFICATION MARKINGS	55
F.	TOP SECRET THESES	55
G.	CLASSIFIED FIGURES, TABLES, GRAPHS, PHOTOS, ETC.....	55
H.	LIST OF REFERENCES.....	55
I.	INITIAL DISTRIBUTION LIST.....	56
J.	SOURCE DOCUMENT RECORD.....	56
VII.	THESIS TECHNICAL REPORTS	61
A.	FRONT COVER.....	61
1.	Report Number.....	61
2.	Research Sponsoring/Monitoring Agency.....	61
B.	SIGNATURE RELEASE PAGE.....	63
VIII.	PhD DISSERTATIONS	65
A.	GRADUATION CEREMONIES	65
B.	COVER PAGE.....	65
C.	SIGNATURE PAGE	65
APPENDIX.	DISTRIBUTION STATEMENTS.....	69
A.	DISTRIBUTION STATEMENTS	69
B.	ADDITIONAL NOTICES	71
C.	THESIS PREPARATION/DISTRIBUTION WORKSHEET	72
	THESIS DISTRIBUTION STATEMENT QUESTIONNAIRE.....	75
INDEX.....		81

I. GETTING STARTED

Writing your thesis is a major undertaking. You have successfully chosen a topic, consulted your thesis advisor, performed the work prescribed, and now you are ready to sit down and write up your results. This manual will provide you with information about the mechanical aspects of your thesis preparation – the margins used, the formatting of reference citations and reference lists, the required documentation, and a myriad of other details.

Equally important, however, is the intellectual work that you must do on your own to organize your material, to cull the important aspects and discard the unimportant, to convert your random thoughts into lucid, coherent prose to allow the reader to capture the essence of your accomplishments, to follow your investigation, and to comprehend the impact of the results. This part of the thesis you must do yourself, with the assistance of your advisor(s). Do not underestimate the time that this organization and conversion into written form will take. It is often the most difficult part of the thesis to do well.

A. BEFORE YOU BEGIN

What kind of a thesis are you writing Before beginning consult with your advisor to determine what type of thesis that you will be writing.

- **Classified or unclassified?** Whether a thesis is classified or unclassified is a fairly obvious choice. If your thesis is classified, be sure to read Chapters I through VI. If your thesis is unclassified, read Chapters I through V.
- **Limited Distribution?** Some theses contain information that require limited distribution to control who can have access to the thesis. (Use the Thesis Preparation/Distribution Form available from your curriculum office. A copy is shown in the Appendix Section C of this manual.) Whether the thesis will be given unlimited release or limited distribution will often affect the handling of the material as you write.
- **NPS Thesis Technical Report?** This type of thesis is used to report meaningful research results to the research sponsor and other interested parties. Your advisor will determine if your thesis should appear as a Thesis Technical Report. If so, you should read Chapters I through V and Chapter VII.
- **PhD dissertation?** The format of a PhD dissertation is much the same as a thesis. The cover pages and signature pages, however, are different. Read Chapters I through V and Chapter VIII.

How to choose a word processor? Most students (or their typists) choose to prepare the thesis with a commercial word processing program. (This manual will assume that you are using such a program.) The choice of program is dictated by the type of material to be processed. Those typing an all-text thesis can choose from most available programs. Those incorporating mathematics want to be sure to use a program and printer that can accommodate Greek symbols and display equations (i.e., equations that are set on separate lines). You will find that every word processing program has its advocates and its opponents; the final choice is yours. Perhaps the most popular word processing program for thesis preparation is *Word*.

Are you using a thesis typist? Some students prepare their own thesis; other have willing(?) spouses or other acquaintances prepare their thesis. International Students are currently the only students reimbursed through the Naval Postgraduate School; the rate of reimbursement is \$2.00 per page (straight typing) \$1.00 per page for editorial assistant up to the following maximum amounts:

Thesis Type	Maximum Reimbursement
Master's /Engineer's Thesis	\$450.00
Doctoral Dissertation	\$800.00

For reimbursement for editorial assistant, see the Thesis Processor. You may *not* be reimbursed when your spouse is the typist (SECNAVINST 5370.2H). The official page count and Standard Form 1034 (Public Voucher for Purchases and Services) is done by the Thesis Processor when thesis is final.

Regardless of whether the typist is paid or unpaid, be *sure* that he/she has a copy of this manual to refer to! It is much easier to prepare your thesis properly from the outset than it is to go back and make corrections afterwards. The thesis typists whose names are on file with the Thesis Processor have been provided a copy of the Thesis procedures and have been briefed about thesis format. When engaging a typist for an unclassified thesis, you should thoroughly discuss and understand all charges that you will be paying in connection with your thesis. Determine exactly what the typist will be charging you for and if there are any extra charges for unusual or extra work that will be done. The charge for typing equations, mathematical expressions, complicated or extensive tables or any other unusual material must be arranged between the thesis student and the typist prior to typing.

B. THESIS ORGANIZATION

Your thesis will be broken up into different parts, called *elements*. Some of these elements are administrative items; others are the written portions of the thesis. The elements of your thesis *must* appear in the following order. The elements marked with an asterisk (*) are mandatory.

Introductory Material

- Front Cover*
- Form 298 (Report Documentation Page)*
- Signature Page*
- Abstract Page*
- Table of Contents*
- List of Figures
- List of Tables
- List of Abbreviations, Acronyms, and Symbols
- Acknowledgment

Body of Thesis

- *Chapter I. Introduction
- Various chapters of your thesis

References (may come after any Appendices, if desired)

- References*
- Bibliography
- Glossary (Definition)
- Footnotes/Endnotes

Appendices (if any)

Initial Distribution List*

This thesis manual is broken down into the following chapters. Chapter II describes the content and format of the introductory material of your thesis. Chapter III contains the information about the format and content of the body of your thesis. It also covers reference citation formats, figures and photos, and a plethora of other material. Chapter IV contains information about the material that comes after the body of your thesis, including Appendices, List of References, and the Initial Distribution Statement. Chapter V describes the procedural details that you will need to accomplish to obtain approvals for your thesis and to turn it in to the Thesis Processor. Everyone should read these five chapters (and the Appendix). Chapter

VI contains additional information about classified theses and Chapter VII has additional information about Thesis Technical Reports. Chapter VIII contains additional information on PhD dissertations. Finally, the Appendix contains information about the different distribution statements that are possible and contains a copy of the Thesis Distribution Form and Questionnaire that is used to determine the appropriate distribution statement.

II. INTRODUCTORY MATERIAL

The Introductory material of your thesis consists of the Front Cover; Standard Form 298 (Report Documentation Page); the Signature Page; the Abstract Page; the Table of Contents; the List of Figures; the List of Tables; the List of Abbreviations, Acronyms, and Symbols; and your Acknowledgment. (Some of these items are optional.) This chapter describes the content of this material and the formats that are used.

A. FRONT COVER

Bond paper bearing the NPS seal must be used. Copies of the cover page can be obtained at your Curriculum Office or the Thesis Processing Office. The items of the Cover page should have the following format.

Item	Format
Title	Upper-case letters, bold, center
by (separate with one space above and below)	Lower-case letters, center
Author(s) name (no rank)	Upper- and lower-case letters, center
Month (no comma)/year of degree	Upper- and lower-case letters, center
Advisor(s):/Co-Advisor(s): and or Second Reader:	Upper-and lower-case letters, flush left
Advisor(s) name (no rank/title)	Upper- and lower-case letters, flush right
Distribution Statement	Upper- and lower-case letters, bold, center.

You can find examples of cover pages on the following pages:

Thesis page 7
Classified Thesis..... page 52
Thesis Technical Report page 62
PhD Dissertation..... page 66

The cover page must be *identical* to the format of the Example page; no exceptions allowed. The Eagle size should look similar also, no larger or smaller. (The diameter of the symbol is 1.7".) The cover page is not numbered but is included in the page count on the Report Documentation Page (block 15).

Note that the Titles, Author(s) Name, Month and Year of Graduation, Advisor(s)/Co-Advisor, and Distribution Statement *must* match on the Cover Page, the Report Documentation Page, Signature Page and the Special Abstract page.

NAVAL POSTGRADUATE SCHOOL
Monterey, California



THESIS

THESIS TITLE

by

Author's Name

Month and year of graduation

Thesis Advisor:

Advisor's Name

Distribution Statement

Example of a Cover page for a regular thesis.

B. REPORT DOCUMENTATION PAGE

The Report Documentation Page is the U.S. Government's technique for recording all government-generated reports. You must include a completed Report Documentation Page, SF 298, in your thesis. This form is available in your Curriculum Office or from the Thesis Office. Prerecorded software versions for some word processing programs are also available along with copies of thesis style files from the Computer Center. See page 9 for an example of this form and page 11 for instructions for completing the SF 298. The SF 298 Form is the only Report Documentation Page accepted. This page is numbered "i." You may need a continuation page, which should be numbered "ii".

C. SIGNATURE PAGE

The Signature page shows the approvals by all of the interested parties of a thesis. Samples of signature pages for a single-author Master's degree, a joint-authored Master's degree, and an Engineer's Theses are shown in the following examples. (A sample signature page for a Dissertation is found on page 67.)

The following formats apply to each of the items on the signature page:

Item	Format
Distribution statement	Upper-lower case letters, bold
Title	Upper-case letters, bold
Author's name	Upper-lower-case letters
Author's rank	Upper-lower-case letters
Undergraduate degree and year	Upper-lower-case letters
Degree awarded	Upper-case letters, bold
Graduation date	Upper-lower-case letters, bold
Signature lines	Upper-lower-case letters.

All other information should be centered and in upper-and lower-case letters as shown in the examples. All major consultants (if any) should be identified as Thesis Advisor(s), Co-Advisor(s) and/or Second Reader. (Minor consultants should be acknowledged on the Acknowledgment page.) [Civilians should leave out the word "civilian" on the cover page, SF 298 form, and the signature page. On the Special Abstract, indicate "civilian."]

REPORT DOCUMENTATION PAGE			Form Approved OMB No. 0704-0188
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188) Washington DC 20503.			
1. AGENCY USE ONLY (Leave blank)	2. REPORT DATE March 1999	3. REPORT TYPE AND DATES COVERED Master's Thesis	
4. TITLE AND SUBTITLE Title (mix case letters)		5. FUNDING NUMBERS Thesis Technical Report needs funding number in this block.	
6. AUTHOR(S) Author's Name (mix case letters), Rank is optional.			
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Naval Postgraduate School Monterey CA 93943-5000		8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)		10. SPONSORING/MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.			
12a. DISTRIBUTION/AVAILABILITY STATEMENT Distribution Statement (mix case letters).		12b. DISTRIBUTION CODE	
13. ABSTRACT (maximum 200 words) Indent the first line of each paragraph in the abstract. The abstract is identical in wording to the abstract in the thesis and the Special Abstract.			
14. SUBJECT TERMS Military Retirement, Retirement Income, Military Retirement Benefits			15. NUMBER OF PAGES *123
			16. PRICE CODE
17. SECURITY CLASSIFICATION OF REPORT Unclassified	18. SECURITY CLASSIFICATION OF THIS PAGE Unclassified	19. SECURITY CLASSIFICATION OF ABSTRACT Unclassified	20. LIMITATION OF ABSTRACT UL

NSN 7540-01-280-5500

Standard Form 298 (Rev. 2-89)
Prescribed by ANSI Std. Z39-18 298-102

Example of the Report Documentation page (SF 298).

SECURITY CLASSIFICATION OF THIS PAGE

#13 Abstract (Continued)

Standard Form 298, (Reverse)

SECURITY CLASSIFICATION OF THIS PAGE
UNCLASSIFIED

INSTRUCTION FOR COMPLETING SF 298 FOR NPS MASTER'S THESIS, ENGINEER'S THESIS, OR DOCTORAL DISSERTATION

The Report Documentation Page is used in announcing and cataloging reports. It is important that this information be consistent with the rest of the report, particularly the cover and signature page. Instructions for filling in each block for the above reports are as follow. Leave blank any blocks that do not apply.

Block 2. Report Date. Month and year of your graduation.

Block 3. Type of Report. Enter the report type that applies: Master's Thesis, Engineer's Thesis, or Doctoral Dissertation.

Block 4. Title of Report. Type title in upper-case letters. [Classified theses: enter the title classification in parentheses, e.g., (U).]

Block 6. Enter author(s) name(s): Last, First and Middle Initial.

Block 7. Performing Organization Name(s) and Address. Enter "Naval Postgraduate School, Monterey CA 93943-5000".

Block 8. Performing Organization Technical Report Number. Leave blank for regular thesis. [Thesis Technical Report: enter report number (e.g., NPS-CS-002-93).]

Block 9. Sponsoring/Monitoring Agency Name(s) and Address(es). Enter if appropriate. [Consult your advisor.]

Block 10. Sponsoring/Monitoring Agency Report Number. (if known) [Consult your advisor.]

Block 11. Supplementary Notes. Enter this disclaimer: "The views expressed in this

thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government." (This statement applies to Unclassified and Classified reports).

Block 12a. Distribution Statement. Enter same distribution statement as on thesis cover. [Classified theses: enter additional limitations or special markings in all capitals (e.g., NOFORN, REL, ITAR).]

Block 12b. Distribution Code. Leave Blank.

Block 13. Abstract. Copy abstract from thesis. (Must be exactly the same words.) Continuation page is available if needed.

Block 14. Subject Terms. Enter at least three keywords or phrases identifying major subjects in the report. [Consult your advisor.]

Block 15. Number of Pages. Enter the total number of pages. Cover to back.

Blocks 17-19. Security Classifications. Enter as appropriate. If form contains classified information, stamp classification on the top and bottom of the page.

Block 20. Limitation of Abstract. This block *must* be completed to assign a limitation to the abstract. Enter either "UL" (unlimited) or "SAR" (same as report).

Instructions for filling out the Report Documentation Page form.

Approved for public release; distribution is unlimited

IMAGE PROCESSING

William J. Doe
Lieutenant, United States Navy
B.S., United States Naval Academy, 1992

Submitted in partial fulfillment of the
requirements for the degree of

MASTER OF SCIENCE IN ELECTRICAL ENGINEERING

from the

NAVAL POSTGRADUATE SCHOOL
[Month and year degree awarded]

Author: _____
William J. Doe

Approved by: _____
John/Jane Doe, Thesis Advisor

John/Jane Doe, Co-Advisor

John/Jane Doe, Second Reader

John/Jane Doe, Chair
Department of Electrical and Computer Engineering

Example of single-author signature page.

Approved for public release; distribution is unlimited

IMAGE PROCESSING

William J. Doe
Lieutenant, United States Navy
B.S., United States Naval Academy, 1992

Mary Ann J. Doe
Lieutenant, United States Navy
B.S., United States Naval Academy, 1992

Submitted in partial fulfillment of the
requirements for the degree of

MASTER OF SCIENCE [or ARTS] IN [NAME]

from the

NAVAL POSTGRADUATE SCHOOL
[Month and year degree awarded]

Authors:

William J. Doe

Mary Ann J. Doe

Approved by:

John/Jane Doe, Thesis Advisor

John/Jane Doe, Second Reader

John/Jane Doe, Chair, Department of [Name]

Example of signature page for joint-authored thesis.

Approved for public release; distribution is unlimited

IMAGE PROCESSING

William J. Doe
Lieutenant, United States Navy
B.S., United States Naval Academy, 1992

Submitted in partial fulfillment of the
requirements for the degree of

[TYPE, e.g., ELECTRICAL] ENGINEER

from the

NAVAL POSTGRADUATE SCHOOL
[Month and year degree awarded]

Author:

William J. Doe

Approved by:

John/Jane Doe, Thesis Advisor

John/Jane Doe, Second Reader

John/Jane Doe, Chair
Department of Electrical and Computer Engineering

Example of an Engineer's degree signature page.

D. ABSTRACT PAGE

The abstract is a short summary of the thesis. It should succinctly state the goals and results of the thesis in order to aid the potential reader to judge whether the contents should be read in detail. It should fit on one sheet of paper and should not exceed 18 double-spaced lines. The title “**ABSTRACT**” starts 1” from the top of the page centered in upper-case letters in bold type.

Do not attempt to write the abstract until you have finished writing the thesis. The abstract should begin with a clear statement of the problem or problems that you are researching. Ask yourself what the purpose of your paper is and what you are trying to prove or discover. Try to express these points in the fewest words possible. Try to avoid overuse of the passive voice in your abstract.

The same abstract must appear in Block (13) of the Report Documentation Page (SF 298) and in the “Special Abstract,” submitted separately on bond paper to the Thesis Processor.

E. DISCLAIMER STATEMENT

All theses must carry the following disclaimer:

The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government. This disclaimer is placed in block 11, of SF 298.

An additional disclaimer may also be required on theses containing new computer codes. The additional disclaimer is placed after the Abstract page.

F. TABLE OF CONTENTS

The Table of Contents must list the chapters, sections, and subsections of your thesis by heading and (beginning) page number. All chapter and section headings must be included, but the listing of the subsections and higher-order divisions is up to you. In addition, the references section, the bibliography, each appendix, and the Initial Distribution List must be listed, along with their page numbers.

The chapter headings should be flush with the left margin; all subsection listings should be indented 0.5” from the prior listing. (See the example on the next page.) The page number appears at the right margin and dot fill is used between the listing and its page number across the page. You *must* use these dot fills (called “dot leaders”) between the title and the page number. Many word processors can generate the Table of Contents automatically (after you have marked the headings that are to be included).

TABLE OF CONTENTS

I. INTRODUCTION [IF TITLE OF A HEADING WRAPS TO THE NEXT LINE, ALIGN THE WORDS AS IN THIS EXAMPLE]	1
II. SECOND FIRST-ORDER HEAD [TITLE]	13
A. SECOND-ORDER HEAD [TITLE]	14
1. Third-order Head [Title]	16
a. Fourth-order Head [Title]	34
b. Second Fourth-order Head [Title]	35
(1) Fifth-order Head [Title]	48
(2) Second Fifth-order Head [Title]	56
B. SECOND SECOND-ORDER HEAD [TITLE]	66
III. THIRD FIRST-ORDER HEAD [TITLE]	73
IV. ETC.	75
APPENDIX A. TITLE	83
APPENDIX B. TITLE	85
LIST OF REFERENCES	95
BIBLIOGRAPHY	99
INITIAL DISTRIBUTION LIST	101

Example of Table of Contents

G. LIST OF FIGURES (Optional)

The figure list identifies the figures by number, includes the figure caption, and indicates the page number of the figure. Figure captions appear in upper-and lower-case letters. Dot leaders are required. Some word processors can generate this list automatically (after you have marked the figure captions that are to be included). (See example.)

LIST OF FIGURES	
1. All Figure Titles in Upper and Lower-case Letters.....	29
2. Figures Titles Go Below Figure	31
3. Numbered in Arabic Numbers	33

Example of List of Figures

H. LIST OF TABLES (Optional)

The table list identifies the tables by number, includes the table caption, and indicates the page number of the table. Table titles appear in upper-and lower-case letters. Dot leaders are required. Many word processors can generate this list automatically. See the example for format.

LIST OF TABLES	
1. Title of First Table.....	15
2. Title of Second Table	17
3. All Table Titles in Upper- and Lower-case letters	27
4. Table Title can go above or <i>below</i> table	27
5. Use Arabic or Roman Numeral Numbers	27

Example of List of Tables.

I. LIST OF SYMBOLS, ACRONYMS, AND/OR ABBREVIATIONS (Optional)

This list can contain a list of symbols, acronyms, and/or abbreviations. All of these elements should be defined the first time that they are used in the body of the text. When there are many, it may be useful to add a separate listing at this location in the thesis for the convenience of the reader. See sample on the next page.

LIST OF SYMBOLS, ACRONYMS AND/OR ABBREVIATIONS

β	propagation constant
ω	frequency
[etc.]	
ADM	Admiral
AL	Alabama
NATO	North Atlantic Treaty Organization
OPEC	Organization of Petroleum Exporting Countries
[etc.]	

Example of List of Symbols, Acronyms and/or Abbreviations.

J. ACKNOWLEDGMENT

Financial support from research sponsors, if any, *must* be acknowledged. Consult your thesis advisor for information to be included. Other acknowledgments are optional. (See Example.)

ACKNOWLEDGMENT

The author would like to acknowledge the financial support of SPAWAR, Code xxx, for allowing the purchase of the equipment used in this thesis. This work was performed under Contract N123456789. [Consult your thesis advisor for details of the acknowledgment.]

[Optional acknowledgment(s) example] The author wants to thank Prof. Doe for his/her guidance and patience during the work in performing this investigation. [etc.]

Example of an Acknowledgment

III. BODY OF THESIS

The body of your thesis contains the text of your material and is divided up into chapters. This chapter of the thesis preparation manual contains information about the subdivisions of your thesis body and their formatting. In addition, it contains information about figures, photos, graphs, and a myriad of other subjects of possible interest. It also contains the rules about what page breaks are allowed and not allowed. Read this chapter carefully!

A. THESIS SECTIONS

You should divide your thesis into chapters, sections, subsections, and (perhaps) sub-subsections to facilitate cross references and improve readability. (Further subdivisions are not recommended; they become too unwieldy.) The numbering scheme is addressed in the following table.

Subdivision	Number type	Headings
Chapter	Upper-case roman numeral [I, II, III, IV..]	Bold, all upper-case
Section	Upper-case letters [A, B, C, D,...]	Bold, all upper-case
Subsection	Arabic numbers [1, 2, 3, 4,...]	Bold, upper- and lower-case
Sub-subsection	Lower-case letters [a, b, c, d,...]	Bold italics, upper- and lower-case
Higher-order subsections (not recommended)	Arabic numbers in parentheses [(1), (2), (3), (4),...]	Regular, upper- and lower-case

Except for first-order and second-order headings, all new paragraphs within a particular heading are indented to the first number or letter in the heading, regardless of the level of the heading.

1. Chapter Headings

The major divisions of the body of your thesis are chapters and appendices. The chapter headings should use only the Chapter number (in upper-case Roman numerals) and the title. Do not use the words “Chapter” or “Section.” Chapter headings begin on a new odd numbered page, are centered, and are in upper-case letters in bold typeface. Paragraphs that

begin under Chapter headings are separated by two single spaced lines and indented 0.5" from the left margin. (See the example on section headings.)

I. TITLE OF CHAPTER

A. TITLE OF FIRST SECTION (IF TEXT CONTINUES ON SECOND LINE, USE HANGING INDENT TO ALIGN WITH FIRST WORD)

[Text follows here. Indent first line of paragraphs 0.5" from left margin.]

1. Title of First Subsection

[Text follows here. Indent first line of paragraphs to position of number (i.e., 0.5" from left margin) for subsection paragraphs.]

a. Title of First Sub-subsection

[Text follows here. Note that the paragraph indentation is all the way to the first letter of the subsection heading (i.e., 1" from left margin).]

This is second paragraph of a sub-subsection. Note that the second paragraph aligns under the first letter of this subsection.

(1) Title of first division of the sub-subsection. [This level of division is not recommended. Text follows on the same line as the heading.]

(2) Title of second division of the sub-subsection. [This level of division is not recommended. Text follows on the same line as the heading.]

b. Title of Second Sub-subsection

[Text follows here....]

B. TITLE OF SECOND SECTION

Etc.

Example of subdivision headings.

2. Section Headings

The major divisions of a chapter are sections e.g., (A. B. C. etc.). Section headings are flush with the left margin and appear upper-case letters in bold typeface. One double-space or 1.5 space separation should appear above and below second-order headings. Paragraphs following the heading are indented 0.5" from the left margin).

3. Subsection Headings

The major divisions of a section are subsections. Subsection headings are indented 0.5" from the left margin, in upper- and lower-case letters in bold typeface. Paragraphs are also indented 0.5" from the left margin.

4. Sub-subsection Headings

Sub-subsection headings are indented 1.0" from the left margin and are in upper- and lower-case bold italics typeface.

5. Headings for Subdivisions of Sub-subsections

Try to avoid reaching this type of heading. From this heading on, all headings are indented 1.5" from the left margin, are number or lettered sequentially with the numbers or letters enclosed in parentheses, are in upper- and lower-case letters, and are followed by a period. The text following the heading appears on the same line.

All subsequent paragraphs of text are indented 1.5" from the left margin. (Exception: No matter what order heading they come under, lists and quotations are still indented 0.5" from the left margin.)

B. PAGE FORMATTING

1. Margins and Font Size

Top 1", left and right 1¼". Page number is centered 1" from the bottom of the page. Right margins may be ragged or justified. (This guide is written with right-margin justification.). Type size should be 10, 11, or 12 point. Headings should be no larger than 14 point.

2. Tab Settings and Indentations

Section-level indentations are generally in half-inch increments. Set your tab settings for one-half inch increments. (You may change these tab settings for lists, tables, and other structural elements; reset your tab settings to half-inch increments after these elements.)

3. Page Numbering

Number all pages leading up to the main body of text with small Roman numerals, beginning with the Report Documentation Page (SF Form 298) as “i.” If the Report Documentation Page is two pages long because a continuation page is used, the continuation page will be numbered “ii.” If a continuation page is not used, insert a blank page, numbered “ii.” The signature page is “iii,” etc. Page numbers are placed 1" from bottom of the page, centered.

Your thesis will be printed using double-sided copying (i.e., both the front and back of the paper will be used.). You want to arrange all elements of the thesis so that they begin on an odd-numbered pages (i.e., right-hand pages). If the Roman numeral pages of the Table of Contents, List of Figures, etc. end with an odd number (v, ix, etc.), add a blank even-numbered page so that the first page of the following element falls on an odd-numbered page. The following items have roman-numeral page numbers as noted.

Item	Beginning Page No.
Report Documentation Page (SF 298)	i
Blank page or continuation page	ii
Signature page	iii
Blank page	iv
Abstract page	v
Blank page	vi
Table of Contents	vii
List of Figures	Odd Roman numeral
List of Tables	Odd Roman numeral

Use Arabic page numbers for the main body of the thesis, beginning with the Introduction as page 1, and number all of the pages sequentially, ending with the Initial Distribution List. If a Chapter or other element of your thesis ends on an odd-numbered page, insert an even-numbered blank page with the statement (this page intentionally left blank (centered) in uppercase letters to ensure that the following element begins on an odd-numbered page. Some word processors can decide whether to add the extra page automatically if you insert the proper code at the beginning of the following element.

4. Line Spacing

The thesis can be spaced with 1.5 or double spacing on 8½" x 11" bond paper. The primary exceptions to the double space rule are for quotations of more than one sentence, footnotes, and itemized or tabular material. These exceptions are all single-spaced. (See the sections on Quotations on page 31, Footnotes on page 24, and Itemized Lists on page 32.)

C. REFERENCE CITATIONS

Your thesis may contain or refer to information borrowed from other sources, provided that you give proper credit through citations and references. To neglect giving such credit could be interpreted as plagiarism, that is, fraudulently presenting someone else's words, ideas, or works as your own effort. Plagiarism is a violation of the Naval Postgraduate School Honor Code and may be grounds for dismissal both from the school and the service.

The use of borrowed information is indicated in the text of the thesis by a citation, which refers to one or more references in the List of References. The format for citations and references varies among disciplines, universities, and published style manuals. The guidelines described below provide an uncomplicated but effective style of citing publications or other consulted works. You may use other styles, if considered more suitable for your thesis subject area, at the discretion of your academic department/group chair and if cleared in advance by the Thesis Processor. In all cases, a consistent style must be maintained throughout the thesis.

The List of References includes only publications actually cited in the thesis. The format of the List of References depends on the citation style that is used in the thesis. Two citation styles are standard; you must choose one style and use it consistently throughout your thesis.

- Citation by number: The items are numbered consecutively in the order in which they are first cited and are referred to by number in the body of the thesis. Brackets [] are used to delineate each numbered reference. See the following example.
- Citation by name: The items in the List of References are arranged in alphabetical order without numbers and are referred to in the text by the author's last name, year

of publication and (optionally) page numbers(s). Parentheses () are used for name and references. See example below.

Citation by number:

Jones [Ref. 1] puts forward this claim and provides illustrations in Section II. However, Whitehouse [Ref. 2:p. 80] tends to refute the conclusions. [Ref. 3]

Citation by name:

The brief but excellent description of the discipline's origins in the paper by Rowe (1948) is perhaps summarized by one statement: "We were working in a field of applied science and I have taken the time of birth of a device to be when members of a team first took off their coats, built equipment and demonstrated its practicality." (Smith, 1972, pp. 51-53)

Example of Citation formats.

If a citation comes at the end of the sentence and refers to only the sentence, it should be placed before the period. If the citation refers to the paragraph, it should be placed after the period. Exception: for material in quotes, the citation (e.g., "[Ref. xx]") follows the period and closing quotation mark. Both styles of citation are shown in the above examples:

D. FOOTNOTES AND ENDNOTES

1. Footnotes

The use of footnotes should be avoided. Credit for borrowed ideas and direct quotations should be acknowledged with reference citations. The primary purpose of footnotes in the Naval Postgraduate School thesis is for qualification of, commentary on, or amplification of textual discussion when it would otherwise disrupt the flow of thought in text.

Footnotes are indicated in the text by either numeric superscripts¹ or asterisks,* without parentheses or punctuation; the footnote itself appears at the bottom of the same page. Footnotes are separated from the text by a line at least 1" in length, drawn from the left margin toward the center, two lines below the last line of the text. Another blank line separates this line from the first footnote. The first line of the footnote is indented about 0.25". Footnotes are single-spaced, with a blank line between individual footnotes on the same page. The last line of a footnote on a page should be 1½" from the bottom of that page. If a footnote is excessively long, it can be carried over to the following page at the bottom using the same format. Most advanced word-processing programs can automatically generate footnotes.

2. Endnotes

Endnotes may be used although it is not recommended. Endnotes are similar to footnotes, but are collected together at the end of each chapter. They follow the same format as footnotes, except that they do not need to appear at the bottom of the page(s).

E. FIGURES

Figures are preferably interspersed in the body of the thesis; but all figures, photographs, and/or tables may be collected together either at the end of a chapter or in an appendix, if this placement is beneficial to the reader. Consult your thesis advisor if you want to use the latter option.

If figures are interspersed, they may be within the text (if small enough) or they may be placed on a separate page immediately following the first reference to them. (Figures must be mentioned in the text before they appear in the thesis.)

- If a figure appears on the same page as some text, No text is allowed to the right or left of a figure.
- A figure can appear on a page without text; however, it must be centered both vertically and horizontally.

All figures must be legible when reproduced. Do not make your figures (or the text within them) too small.

Figure 1. Example of a Figure and Figure Caption.

¹ This is an example of a footnote.

* This is another example of a footnote.

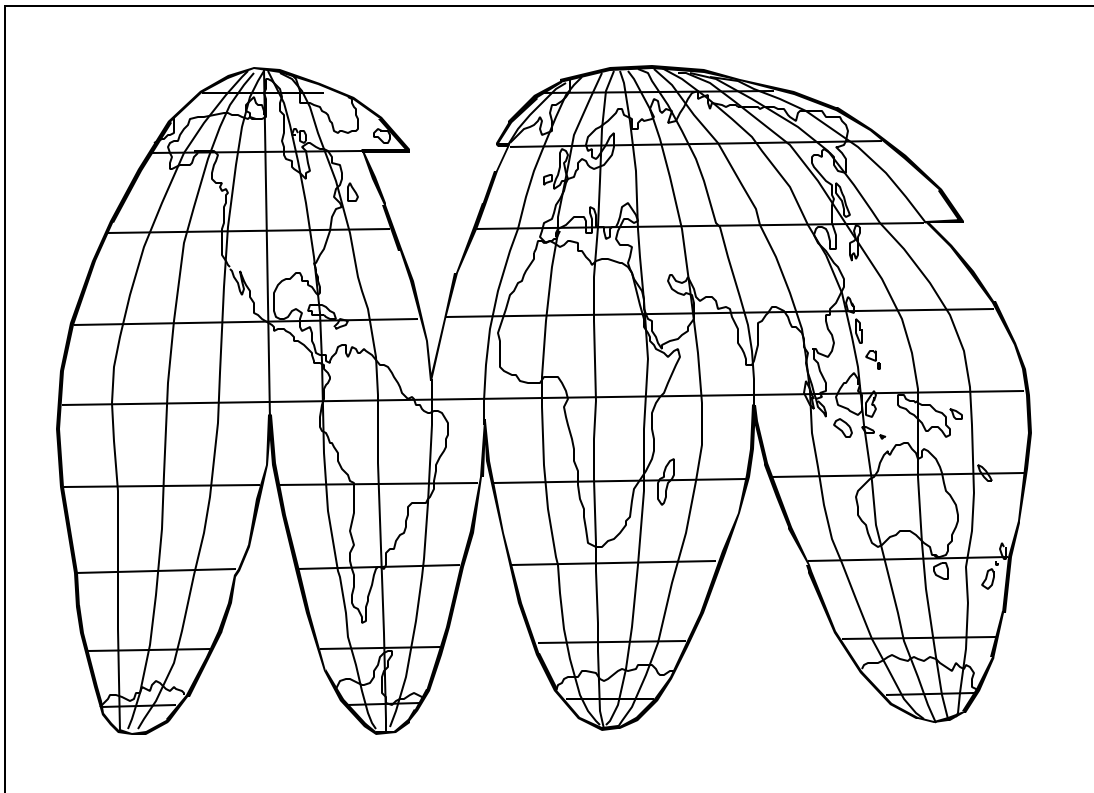


Figure 1. Example of a Figure and Figure Caption

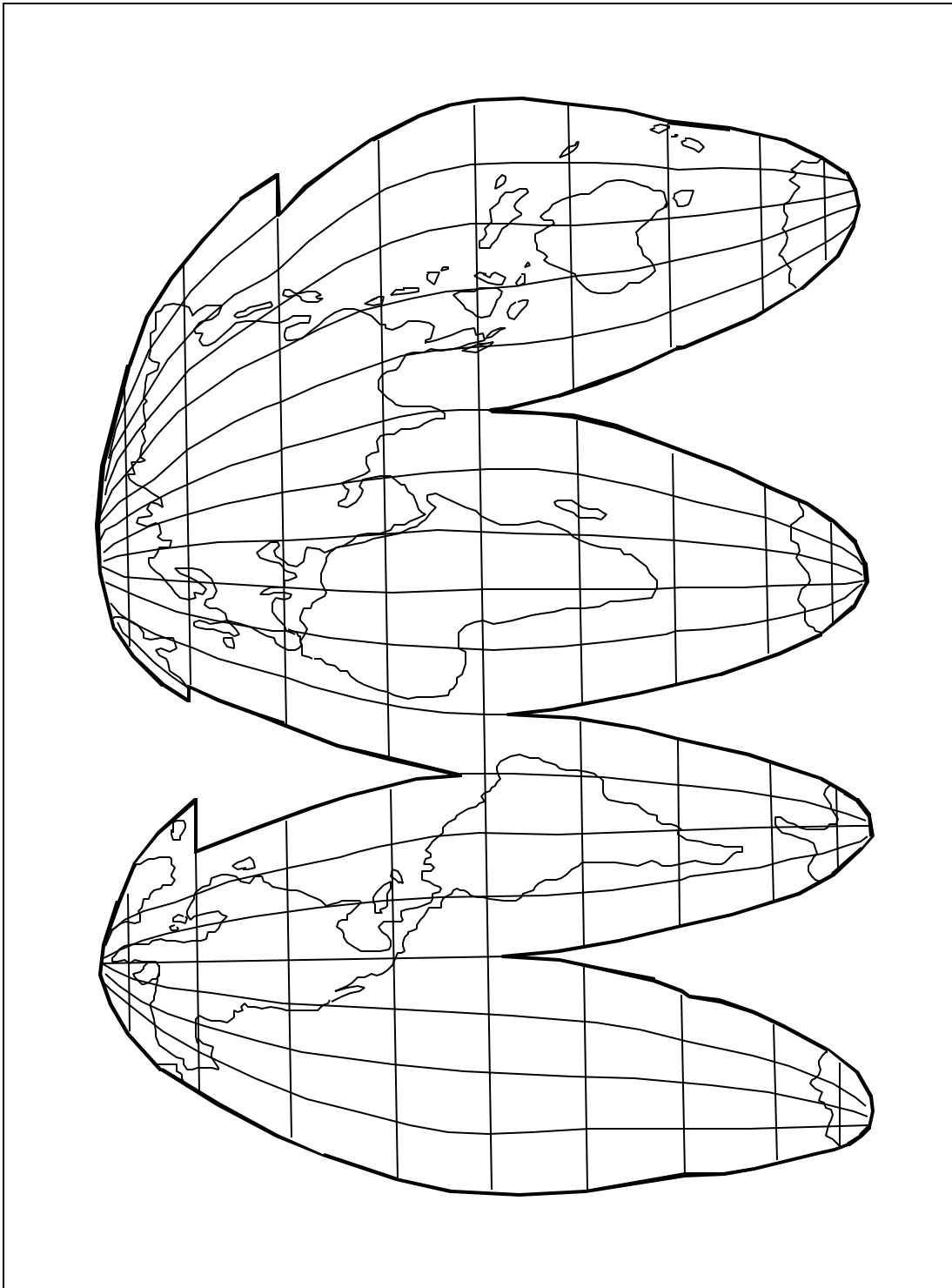
Keep in mind that the caption, figure number, or any other notes must also be contained within the regular margins. The figure caption may be flush with the left end of figure or may be centered.

All figures are to be numbered with Arabic numerals (e.g., “Figure 1 or by Chapter 3.1”) and captioned. The caption consists of the figure number, the figure title, and any amplifying text required. The caption should be in mixed upper-and lower-case letters and appears below the figure outside the figure border, if border is present. See the above example. It is optional whether you have a box appear around your figure. Consult your thesis advisor.

Figures may be copied from other sources or may be modified versions of figures from other sources only if the source is acknowledged with a reference citation.

- If a figure is copied from another source, that source must be acknowledged with a reference citation in the caption. Such a caption would read “From Ref. [x].”

- If the figure is a modified version of a figure from another source, the reference citation in the caption would read “After Ref. [x].”



Example of a landscape figure. Caption may be horizontal on the bottom of the page (as her) or vertical along the right edge of the figure (facing outward). Page number for this page is placed at the bottom centered.

If a table or figure is referenced in the text but appears on the next page, the text continues to the bottom of the page, i.e., do not leave the rest of the page blank. If a table or figure takes up half a page or more, you may vertically center it and have no text on the same page. If a table or figure is half a page or less, you should complete the page with text.

If a figure is positioned to be read sideways in the thesis (i.e., “landscape orientation”), the figure should be oriented so that its bottom is on the right edge of the page. Keep in mind that your thesis will be printed with double-sided pages. It is easiest to put the caption at the bottom of the page under the figure. Optionally, the caption may appear under the bottom of the figure in “landscape”-oriented text.

F. TABLES

All tables are to be numbered, by either Roman or Arabic numerals (e.g., “Table 1” , “Table I” or Table 3.1), and captioned. The caption consists of the table number, the table title, and any amplifying text required. The caption can be above or below the table in upper and lower case letters. If a table is copied from another source, that source must be acknowledged with a reference citation in the caption. Such a caption would read “From Ref. [x].” If the table is a modified version of a table from another source, the reference citation in the caption would read “After Ref. [x].” No text can appear to the right or left of table. A table can be on a page without text; however, it must be centered both vertically and horizontally. Table must be mentioned in the text before they appear.

The table caption can be flush with the left edge of the table or can be centered.

	Column 1	Column 2
Row 1	11	12
Row 2	12	22

If a table is positioned to be read sideways in the thesis (i.e., “landscape orientation”), the table should be oriented so that the bottom is toward the right edge of the page. All tables must be legible when reproduced; be sure the lettering is large enough.

G. EQUATIONS, DRAWINGS, GRAPHS, ETC.

1. Equations and Formulas

To project a professional appearance, all equations and formulas must be typed, preferably with a software equation editor. Suggested software that combines math and Greek symbols with an equation editor includes WordPerfect, Microsoft Word, Ami Pro, TeX, troff, FrameMaker, etc. Equations may be numbered when referred to. Equations should be numbered in sequence either by chapter (e.g., 3.1, 3.2, 3.3,...) or in a continuous sequence throughout the thesis (e.g., 1, 2, 3, 4,...).

2. Drawings

Drawings should be computer-produced. Hand-drawn drawings made with graphics tools are allowed, but are not recommended.

All text in the final drawing appearing in your thesis must be legible. Try to avoid having lettering less than 10-point size.

3. Graphs

Graphs should be computer-produced. Graphs drawn on graph paper by hand with graphics tools are allowed, but not recommended. All graphs must be legible when reproduced. Graphs should not be drawn freehand; use a straight edge or French curve.

All axes on each graph should be labeled and the units specified. Use only black ink on figures, flow charts, and graphs. Illustrations with very fine, faint, or uneven lines or illegible symbols are unacceptable.

For hand-drawn graphs, you may use any brand of press-on numbers, letters or symbols. With press-ons, use only black ink for optimal reproduction quality; pencil lines will be too faint to see after reproduction of your thesis.

4. Figure Reproductions

The Defense Printing Service is able to photographically reduce oversize material which cannot be handled on photocopiers. (In the rare event that you find that you cannot reduce your material and you want to include folded-in material, consult the Thesis Processor in advance for instructions on how to proceed.)

A slight reduction of a clear drawing usually presents no problem, but severe reductions may be illegible unless special care is taken. When a figure is to be severely reduced, printing larger than 10-point size must be used in order to ensure legibility after reduction.

5. Paste-ons

You can use rubber cement, double-sided cellophane tape, or glue stick for mounting graphs, figures, or drawings in your thesis (follow the usual margins). Photocopy machine paper or inexpensive typing paper is excellent for mounting. Do not use “easy-erase” paper or paper containing a watermark, because the watermark will be visible on the final reproduced page.

After pasting your material into place, make a photocopy of the page for submission with the final thesis. (Paste-ons will not feed correctly into the automatic printing machine when your thesis is printed.) Be sure that you make these photocopies before coming to the Thesis Processor for your final appointment; the Thesis Office is unable to make copies for you. Bring the originals of your paste-ons to the Thesis Processor in case a problem arises when your thesis is reproduced.

H. PHOTOGRAPHS

Photographs appearing in your thesis should be scanned in. The procedures for taking your photos, processing them, and mounting them follow.

1. Taking photos by yourself

In most cases, you will take the photos for your thesis. You may use your own 35mm camera, a Polaroid camera (with B/W or color film).

2. Mounting materials

Mount any separate materials on the appropriate page with double-sided cellophane tape or rubber cement (use sparingly). The paper must be white and should not contain a watermark (an inexpensive bond or ditto paper is excellent). The paper size must be 8½” x 11” and the usual 1” top, 1½” bottom and 1¼” side margins must be maintained. The photos must be captioned as figures.

Polaroid prints are 2 -7/8” x 3 -3/4”. Two prints of this size can be mounted nicely on an 8½” x 11” page, leaving room for captions.

If you are mounting two 4”x 6” photos or one 6”x 8” photo, you will need to crop the photographs to have enough room for the caption(s).

I. QUOTATIONS

The following example illustrates the format that should be used for a long quotation.

A quotation of two or more sentences is typed 0.5" in from the left and the right margins; this can be achieved with a "double indent" if your word processor supports it. The lines are single-spaced. Paragraphs within the quotations are indented an additional 0.5" and separated by a double line space. *Do not enclose a single-spaced quotation in quotation marks ("...").* Quotation marks are used only for short quotations within the body of the text.

Words omitted from any part of a quoted extract are indicated by ellipsis (three periods at the beginning of or within a sentence, four at the end of a sentence). For example, "Although interjections...occur freely in conversation, they are of negligible importance in commercial correspondence...."

Example of format for long quotations.

Use single quotation marks(') only for a quote within a quote, as, for example, "The Secretary of Defense said, 'It is not our policy to...'. "

When "setting off" a word or phrase, use double quotation marks.

J. LISTS

For lists within an existing paragraph, indent all lines of text 0.5" from the left margin. All such indentation must be consistent throughout the thesis.

The following example shows some of the formats used for lists.

All list designators must be consistent throughout the thesis. For example, if you are using bullets for your first list, all succeeding lists should be designated with bullets.

[Example of a numbered list.]

1. This is an example of a numbered list.
2. This is the second line of a numbered list.

[Example of a bullet list.]

- If you have a longer item in your list, this example shows the position of the succeeding lines (achieved with a “hanging indent,” if your word processor will support it). Notices that successive lines begin under the first letter of the first line, not under the symbol.
- This is an example of a list item identified by a bullet.

[Example of a different symbol used as a bullet.]

- This is an example of a list item identified by a dash (which is *not* the same as a hyphen).

Example of the format of lists.

K. LINE BREAKS AND PAGE BREAKS

Some general rules to follow while typing a thesis are:

- The last word on a page should not be divided.
- The last word in a paragraph should not be divided.
- Not more than two consecutive lines should end with a hyphen.
- A heading should not be typed at the bottom of a page. There must be room for at least two lines of text below a heading; otherwise, begin the new section at the top of the next page. As a general rule, it is better to leave white space than to crowd text and overrun the margins.

- Paragraphs must be divided so that there are at least two lines of text at the top and bottom of each page. Thus, a three-line paragraph should not be divided.
- If a table or figure is referenced in the text but appears on the next page, the text continues to the bottom of the page, i.e., do not leave the rest of the page blank. If a table or figure takes up half a page or more, you may vertically center it and have no text on the same page. If a table or figure is half a page or less, you should complete the page with text.
- New chapter must begin odd-numbered pages. Add an even-numbered blank page if the previous chapter ends on an odd page. Many advanced word processors can force this odd-numbered page numbering if you insert the proper commands on the first page of every chapter.

L. MISCELLANEOUS RULES

- Except when beginning a sentence, you may abbreviate “Chapter” (Chapt.), “Figure” (Fig.), and “Equation” (Eq.). Once you decide be consistent with that choice for the rest of your thesis.
- The first letter of the following words or abbreviations should be capitalized when specifically referenced in the text:
 - Chapter: (In Chapter I, the outline... [or] In Chapt. I, the outline...)
 - Figure: (In Figure 1, the curves show... [or] In Fig. 1, the curves show...)[Be consistent in choosing whether to use abbreviations.]
 - Table: (Table IV demonstrates...)
 - Appendix: (In Appendix B are...)
 - Equation: (Equation 10 shows.; in Eq. 11....) [Never abbreviate the first word of a sentence.]
- Write out all numbers ten and under; use Arabic numerals for 11 and over. Exception: if you are citing a measured distance, temperature, figure, etc., you would use numerals (7 km, 90 F, Figure 4, etc.).

- When using “i.e.” and “e.g.”, place a comma afterwards. (Example: The data, i.e., v vs. t, show...).
- Choose the correct word, e.g., principal, principle; cite, site; its, it's; compliment, complement.
- Check each listing in the Table of Contents against the page number of the actual text.
 - Is the title exactly the same in both places?
 - Is the page numbering correct?
 - Is the last entry the Initial Distribution List?
- Do not use contractions (e.g., don't, it's, wasn't,...) in your thesis.

IV. MATERIAL AFTER BODY OF THESIS

The material appearing after the body of the thesis contains Appendices (if any), the List of References, the Bibliography, the Glossary, and the Initial Distribution List. In addition to this material, you will also need to prepare the Thesis Preparation/Distribution Form and the Special Abstract. Material governing the content and formatting of these items is contained in this chapter. Please note that your List of References can come either before or after any Appendices.

A. APPENDICES (Optional)

Appendices contain material that might interrupt the flow of the body of the thesis, such as derivations of formulas, detailed circuit diagrams, or full printouts of computer code. The first paragraph of an appendix should contain a short description of the contents of the appendix so the reader can decide whether to carefully read the material or not.

Appendices begin on an odd numbered-page; add a blank page to the previous section, if necessary. The title Appendix appears on the same line as the appendix title. For one appendix, do not use any letter; for multiple appendices, use “A, B, C...” See the following example. If you have more than one appendix, you must list the titles in the table of contents.

B. LIST OF REFERENCES

The List of References may be placed either before any appendices or after them, as preferred. The List of References must begin on an odd-numbered page; add a page to the prior item if it ends on an odd-numbered page. The format of the references follows the format used in your discipline or sub-discipline. Consult your thesis advisor with any questions on how to format your references.

In the List of References, each citation is flush to the left margin and is single-spaced with a blank line between entries. If you want to include specific page numbers where the information was found, the page numbers should be included in the List of References, not the reference citation. In the titles of publications and their divisions, capitalize the first letter of all words except articles (a, an, the), conjunctions, and short prepositions (of, in, or, by, with, etc.), except when these begin the title. See example on page 37.

[For single Appendix]

APPENDIX. [TITLE IN UPPER-CASE BOLD TYPE]

[Brief description of Appendix contents, if not evident from title.]

[Appendix contents]

[For multiple Appendices]

APPENDIX A. [TITLE]

[Letter Appendices in sequence. Include brief description of Appendix contents, if not evident from title.]

[Appendix contents]

Example of Appendix.

C. BIBLIOGRAPHY (Optional)

The inclusion of a Bibliography is optional. It is a list of those works which you found helpful during the preparation of your thesis but which were not actually cited as references. It should include publications which might benefit the reader of the thesis. It need not be, however, a list of everything examined during the course of thesis research.

The Bibliography must begin on an odd-numbered page; add a blank page to the previous item if it ends on an odd-numbered page. A Bibliography is arranged alphabetically by author. The format for each entry is the same as that used for the List of References for the by-name citation method. It appears after List of References.

LIST OF REFERENCES

[Citation by number:]

1. Jones, G. E., *Applied Operations Research*, p. 9, John Wiley & Sons, Inc., 1976.
 2. Whitehouse, G. E., *Applied Operations Research*, John Wiley & Sons, Inc., 1976.
 3. Whitecomb, J. P., "Naval Artillery," *Naval Warfare Proc.*, vol. 12, no. 2, pp. 13-23, Monterey, CA, 1989.
-

[Citation by name: in alphabetical order:]

Rowe, A. P., *One Story of Radar*, pp. 5-9, Cambridge University, 1948.

Smith, A. B., *Operations Research: An Introduction*, Praeger, 1972.

Whitecomb, J. P., "Naval Artillery," *Naval Warfare Proc.*, vol. 12, no. 2, pp. 13-23, Monterey, CA, 1989.

Example of List of References

D. INITIAL DISTRIBUTION LIST

This list is the last numbered page of thesis. It must begin on an odd-numbered page; add a blank page to the previous item if it ends on an odd-numbered page. The Initial Distribution List contains the name and complete address, including relevant mail code numbers and the zip code, of each individual and activity that you and your advisor have decided should receive a copy of your thesis. See sample Initial Distribution. Attach an extra copy of the Initial Distribution List to the Thesis Classification form. If a thesis is to be distributed outside the Naval Postgraduate School, the Defense Technical Information Center must be included in the Initial Distribution List.

For all theses, Department/Group Chairmen and Thesis Advisors should be included on the Initial Distribution List only at their specific request. You should ascertain their wishes before preparing the Initial Distribution List.

Currently, there is a 15 copy limit except for Ph.D students that can appear on a distribution list. Students and advisors are expected to exercise discretion in determining the number of copies that should be distributed. If the number of copies greatly exceeds this value, advisors are expected to provide reimbursable project accounting citations to pay for the printing and mailing of the copies. Consult your thesis advisor.

Some things to check on your listings are:

- For individual or activity receiving a copy, include complete address, code, and zip code.
- For accurate and complete Navy addresses, please consult the Standard Navy Distribution List in the Reference Section of the NPS Library. Give the addressee's name in full form. Do not use abbreviations such as "COMNAVSEASYSCOM" in mailing addresses.
- Be sure all State names are written consistently, i.e., VA, CA, etc., or Virginia, California, etc.

E. DECIDING ON A DISTRIBUTION STATEMENT

All theses need a distribution statement (see the Appendix) to decide who is eligible to receive a copy of the thesis. You and your advisor must determine the initial distribution by working out the Thesis Preparation/Distribution Form. (See the Appendix for a sample copy; copies of this worksheet are available in your curriculum office.) Your Chairman, who reviews and signs your thesis, will review and sign this worksheet as well to be sure that the Distribution Statement is correct.

Except for Unlimited Distribution (Distribution Statements A and F), distribution statements are made up of three parts: who can receive the document, the reason and date for the restriction, and who will approve future requests for this document. You are encouraged to discuss this with your advisor and to use the research sponsor (if applicable) as the controlling authority for future requests. The distribution statement selected appears in three places in the thesis: the Thesis Cover Page, in block 12a of the Report Documentation page (SF 298), and on the Signature page.

INITIAL DISTRIBUTION LIST

[All theses will include the following addresses in this order:]
Except when using distribution statement "F" omit DTIC

1. Defense Technical Information Center 2
8725 John J. Kingman Rd., STE 0944
Ft. Belvoir, Virginia 22060-6218

 2. Dudley Knox Library 2
Naval Postgraduate School
411 Dyer Rd.
Monterey, California 93943-5101

 - Marine Corps students include these addresses
 3. Director, Training and Education..... 1
MCCDC, Code C46
1019 Elliot Rd.
Quantico, Virginia 22134-5027

 - Director, Marine Corps Research Center 2
MCCDC, Code C40RC
2040 Broadway Street
Quantico, Virginia 22134-5107

 - Director, Studies and Analysis Division 1
MCCDC, Code C45
300 Russell Road
Quantico, Virginia 22134-5130

 - If Thesis relates to: Logistic, logistic management, logistics models, transportation, physical
distribution, warehousing supply operations or maintenance, send one copy to:

 4. Defense Logistic Studies Information Exchange..... 1
U.S. Army Logistics Management College
Fort Lee, Virginia 23801-6043

 5. List all Internal NPS codes 1
(e.g., Chairman, Advisor, Second reader, etc. Consult your advisor.)

 6. List other recipients (consult your advisor) 1
-

Example of an Initial Distribution List.

For unclassified theses, attach one extra copy of Initial Distribution List to the Thesis Preparation/Distribution Form. (Attach two copies if your thesis is classified.) Do not detach the questionnaire section. You must have signatures of your Advisor and Chairman on this form when submitting your final thesis. If there are any difficulties about answering any of the questions, consult the NPS Security Manager.

F. SPECIAL ABSTRACT

Special Abstracts are compiled and published quarterly. When you turn in your final thesis to the Thesis Processor, you must submit two hard copies of the Special Abstract and a copy of the special abstract on disk. In addition, each author must turn in a copy of their Special Abstract to their Curriculum Officer for his/her records.

Example of the Special Abstract and disk labeling is shown on the following page. The text of your abstract should be limited to 18 lines, if possible. The following formats should be used, as in the example below. Page margins are (1" from the top of the page side margins 1¼" to 1" and bottom margin is 1").

Item	Format
Thesis title	Bold, upper-case letters, centered
Full name, rank and service (or "Civilian")	Bold, upper- and lower-case letters, centered
Undergraduate degree, College, Month and year	Bold, upper- and lower-case letters, centered
NPS degree (full name), Month and year	Bold, upper- and lower-case letters, centered
Advisor(s) name and department	Bold, upper- and lower-case letters, centered
Co-Advisor(s) name and department	Bold, upper- and lower-case letters, centered
Second Reader's name and department	Bold, upper- and lower-case letters, centered
Abstract text	Upper- and lower-case letters
DoD Key Technology Area:	Bold, upper-case letters followed by a colon
Keywords:	Bold, upper-case letters followed by a colon.

TYPE IN THESIS TITLE
Sally A. Smith-Lieutenant, United States Navy
B.S.,United States Naval Academy, 1987
Master of Science in Computer Science-March 1999
Advisor: John L. Doe, Department of Electrical and Computer Engineering
Co-Advisor: Joe M. Doe, Department of Electrical and Computer Engineering
Second Reader: Jane S. Doe, Department of Computer Science

The special abstracts are compiled and published quarterly. The Compilation of Theses Abstracts is mailed to approximately 550 addresses and are on the NPS Research Office Web Page.

The second paragraph and any subsequent paragraphs should be indented 5 spaces (no space between paragraphs). The Special Abstract must be singled spaced, justified limited to 18 lines and be identical to block 13 of Standard Form 298 and the abstract page in the thesis. Please use bold as in this example. For cross-referencing please list keywords and DoD Key Technology Area and spell out all acronyms.

When submitting a final thesis, the Special Abstract must be provided to the thesis processor as a hard copy and on a disk in Word 7.0. The special abstract should look identical to this one.

DoD KEY TECHNOLOGY AREA: Type in DoD Area here in upper and lower case letters, separate each area with a comma (no bold or period.)*

KEYWORDS: Type in Keywords here same as Subject Terms in Block 14 of Standard Form (298) in upper and lower case letters. Separate each keyword with a comma (no bold or period.)

**The list of DoD Key Technology Areas can be found on the Student/Advisor Research Information form (blue sheet).*

G. LABELING YOUR DISK

Your disk should be labeled as follows:

Example

Last name, First and Initial
Department, Degree
Curriculum #
Curric Office Code
Distribution Statement
Type of Software and Version
Grad/month/year

Worthy, John D.
Code SM, MSMGMT
Curric 837
Code 36
Dist. A
Word 7.0
Mar 99

H. EXAMPLE FORMATS FOR REFERENCES

TYPES OF CITATION

BOOKS with one personal author

Order of Elements: Author, *Title*, Edition, Volume(s), Pages cited, Publisher, Date. Example: Jones, H.G., *Chemical Analysis*, pp. 385-386, John Wiley & Sons, Inc., 1987.

BOOKS with two personal authors

Example: Jarvis, A.F. and Jones, E.K., *Microwave Engineering*, 2d ed., v.2, Academic Press, 1987.

BOOKS with three personal authors

Example: Jones, H.G., Smith, R.B., and Robinson, K.T., *Mathematical Analysis*, Harper, 1987.

BOOKS with more than three personal authors

Example: Jones, H.G., and others, *Differential Equations*, p. 485, McGraw-Hill Book Co., 1976.

BOOKS with a corporate author

Order of Elements: Corporate Author, *Title*, Edition, Volume(s), Pages cited, Publisher, Date. Example: American Cyanamid Company, *Annual Report*, 1987.

BOOKS with no author

Order of Elements: *Title*, Edition, Volume(s), Pages cited, Publisher Date. Example: *Metals Handbook*, 9th ed., v.2, p. 84, American Society for Metals, 1989.

PERIODICALS

Order of Elements: Author(s), "Title of Article," *Title of Periodical*, Edition, Volume number, Pages cited, Date.

Example: Christiansen, D.H., "Integrated Circuits in Action, Part I: *The Great Design Dilemma*," *Electronics*, v. 39, pp. 68-87, 17 December 1988.

TECHNICAL REPORTS

Order of Elements: Source, Report number, *Title*, Author(s), Pages cited, Security classification (if any), Date.

Example: Naval Electronic Laboratory Center Report 1512, *Reliability Screening and Step-stress Testing of Digital-type Microcircuits*, by H.F. Dean and K.F. Harper, p. 17, 1 September 1986.

PAPER (unpublished)

Order of Elements: Author(s), "Title," Place/event note, Date.

Example: Brauer, N.B., "Microelectronics for Command and Control Systems-Today and Tomorrow," paper presented at the American Ordnance Association Symposium, 10th, Bangor, Maine, 9 September 1986.

THESIS/DISSERTATIONS

Order of Elements: Author(s), *Title*, Thesis note, Date.

Example: Hudson, R.F., *Software Agents and the Defense Information Infrastructure: Reengineering the Acquisition Process*, Master's Thesis, Naval Postgraduate School, Monterey, California, September 1998.

Madison, Dana E., *A Database Approach to Computer Integrated Manufacturing*, Ph.D. Dissertation, Naval Postgraduate School, Monterey, California, June 1989.

LETTERS

Order of Elements: Source, Security Classification, File number (s), Addressee Subject, Date.

Example: Naval Material Command CONFIDENTIAL letter CNM 0331: MCC Serial 198 to Naval Electronics Laboratory Center, Subject: Research Objectives; Request for Report on (U), 12 May 1976.

PATENTS

Order of Elements: Inventor(s), *Title*, Country, Patent number, Date.

Example: Kindel, L.J. and McManus, R.P., *Spectrum Analyzer*, U.S. Patent 3,366,877, 9 December 1988.

SPECIFICATIONS

Order of Elements: Source, Type of Spec., Spec. number, *Title*, Date.

Example: Department of the Navy Military Specification MIL-R-16400F (NAVY), *Electronic Equipment, Naval Ship and Shore, General Specification*, 24 February 1977.

PUBLIC DOCUMENT

Order of Elements: Source, Agency, *Title*, Pages cited, Publisher, Date.

Example: U.S. Department of Health, Education, and Welfare, *National Center for Education Statistics, Digest of Educational Statistics*, pp. 6-12, Government Printing Office, Washington, D.C., 1977.

INTERVIEW

Order of Elements: Source, Agency, Date.

Example: Interview between W. Knox, Lieutenant Commander, MSC, USN, Naval Medical Command, Washington, D.C., and the author, 27 May 1976.

TELEPHONE CONVERSATION

Order of Elements: Source, Agency, Date.

Example: Telephone conversation between (name), (code), (agency) and the author, 22 January 1999.

MESSAGE

Order of Elements: Source, Subject, Date.

Example: NAS Norfolk, VA Naval Message, Subject: Civilian Personnel Onboard, 101300Z Sep 85.

WEB ADDRESS

Order of Elements: Author(s), Title, Web address, Date.

Example: Limb, Peter, "Relationship between Labor & African Nationalist/Liberation Movements in Southern Africa."

[http://neal.ctstateu.edu/history/word_history/archives/limb-1.html]. May 1992.

Format for the Bibliography is the same, except that page references are omitted. Whenever italics are used in this example you may underline.

I. THESIS FINAL CHECKLIST

COVER PAGE

- ☐ **TITLE** (upper-case/ **bold**/center)
- ☐ by (lower-case/center/separate with one space above and below)
- ☐ Name (center/upper-lower case, no rank)
- ☐ Month/yr. (upper-lower case/center
e.g., September 1999 (no comma))
- ☐ Advisor(s) (flush left)
- ☐ Advisor(s) name (flush right, no rank or title)
- ☐ Appropriate Distribution Statement
(center/upper-lower case/**bold**).
- ☐ Thesis Technical Report
- ☐ Technical report number
- ☐ Prepared for:
- ☐ Signature release page.

REPORT DOCUMENTATION PAGE (298) REPORT

- ☐ blocks 2,3,4,6,7,11,12a,13,14, 17-19 and 20 must be complete. Blocks 5,8,9 (for Technical reports).
- ☐ Page count, leave blank if in doubt.

SIGNATURE PAGE

- ☐ Distribution Statement (1" from the top of the page in upper-lower case/**bold**/centered)
- ☐ **TITLE** (upper-case/**bold**/center)
- ☐ Author's Name, Rank, Service, Undergraduate degree and year (in upper-lower case/center)
- ☐ Degree awarded (upper-case/**bold**/center)
- ☐ Graduation month and year (upper-lower case/center, **bold** optional)
- ☐ Typed names below signatures (upper-lower case/center, no rank or title).

ABSTRACT PAGE

- ☐ **TITLE** (upper-case 1" from the top of the page/center/**bold**).

TABLE OF CONTENTS

- ☐ **TITLE** (center upper-case/**bold** 1" from the top of the page)
- ☐ Do Not List Roman numeral pages
- ☐ Make sure that titles and page numbers match titles and page numbers in the thesis.
- ☐ Dot leaders required (.....1)
- ☐ If more than one appendix, list titles
- ☐ Initial distribution list (last item)

All Chapters/List of References, Appendices and the Initial Distribution List start on an odd page number.

LIST OF FIGURES/TABLES

- ☐ Figure/Tables numbering should be in sequential order, or by chapters. Figure numbering in Arabic number only.
- ☐ Make sure that titles and page numbers match titles and page numbers in the thesis.
- ☐ Figure caption (below figure)
- ☐ Table caption (above or below) must be consistent
- ☐ List of Figures/Tables should be listed separately on an odd page number
- ☐ Dot leaders required.

LIST OF ABBREVIATIONS ACRONYM'S and SYMBOLS

(optional). List each on an odd page.

ACKNOWLEDGMENT (optional)

EXECUTIVE SUMMARY starts before the Acknowledgment (if applies).

PAGE MARGINS

- ☐ left and right 1¼", top 1", page number 1" from the bottom of the page centered.

INTRODUCTION

- ☐ **CHAPTERS** start on an odd page number (center upper-case **bold**).
- ☐ **SECOND ORDER TITLES** (flush left upper-case **bold**) . Paragraphs start 0.5" from the left margin.
- ☐ **1. Third Order Titles** starts 0.5" from the left margin (upper-lower case **bold**). Paragraphs align under the number.
- ☐ *a. Fourth Order Titles* starts 1.0" from the left margin (upper-lower case Italics **bold**). Paragraphs align under the letter.
- ☐ Fifth-order title is indented 1.5" from the left margin (upper-lower case). The paragraph begins on the same line, two spaces after the period.

APPENDICES

- ☐ **TITLE** (in upper-case/**bold**/center)
- ☐ if more than one appendix, list titles
- ☐ Start each appendix on an odd page number.

LIST OF REFERENCES and BIBLIOGRAPHY

- ☐ **TITLE** (in upper-case/**bold**/center)
- ☐ One style consistently throughout
- ☐ States and the month spelled out or abbreviated (must be consistent).

The list of references can be placed before or after the appendix on an odd page number.

The Bibliography is placed after the list of reference on an odd page number (optional).

INITIAL DISTRIBUTION LIST

- ☐ **TITLE** (upper-case/**bold**/center)
- ☐ Dot leaders required (.....2)
- ☐ Number each addressee (see below)
- ☐ States (spelled out or abbreviated)
- ☐ Re-check zip codes and internal codes
- ☐ DTIC should be listed on all theses except when using distribution statement "F"
- ☐ IDL is the last odd page of the thesis (no **bold**).

Mandatory addresses for the initial distribution list, list them in this order.

1. Defense Technical Information Center
8725 John J. Kingman Rd., STE 0944
Ft. Belvoir, VA * 22060-6218
2. Dudley Knox Library
Naval Postgraduate School
411 Dyer Rd.
Monterey, CA * 94943-5101

Two copies each. *can be spelled out.

THESIS FORMS

- ☐ Thesis Preparation/Distribution Form (signed by Advisor and Chair) with attached questionnaire when using distribution statement other than "A"
- ☐ One extra copy of the Initial Distribution List, (two if classified).
- ☐ Research Information Form (blue sheet)
- ☐ Two hard copies of the Special Abstract
- ☐ Disk (labeled) with copy of the Special Abstract
- ☐ Original signed thesis.

NOTES: Limit of 15 copies per thesis except for Ph.D. students. Color submission. For every color page needed, enough color copies of that page will be provided with the final thesis of cover the distribution. Paste-ons must be photocopied.

Thesis must be single sided and no holes.

Thesis arrangement.

Cover page	no page number
298	"i"*
Blank page	"ii"
Signature page	"iii"
Blank page	"iv"
Abstract page	"v"
Blank page	"vi"
Table of Contents	"vii"
Blank page	"viii"
List of Figures	"ix" (optional)
Blank page	"x"
List of Tables	"xi" (optional)
Blank page	"xii"
List of Symbols	"xiii"
Blank page	"xiv"
Executive Summary	"xv"
Blank page	"xvi"
Acknowledgment	"xvii"
Blank page	"xviii"
I. Introduction	"1"
II. Conclusion	"3"
Appendix A: Title**	"5"
List of References	"7"
Initial Distribution List	"11"

*Count Roman numeral pages, cover and all Arabic page numbers to get the total page count.

**If only one appendix (title is optional).

Classified (Source Document Record)

Top Secret (two copies of an unclassified special abstract with disk, and a copy of a signed signature page)

Dissertations must be turned into our office (24) hours before graduation.

Call for your final appointment. Thank you.

V. PROCEDURAL MATTERS

When you have finished writing your thesis, you are ready to get the required signature approvals and (eventually) to turn it in to the Thesis Processing Office. Be sure to allow time for suggested (or required) changes at each step of the process. Do not underestimate the time that it can take to have someone read your thesis, suggest changes, and then reread it to make sure that the changes have been made correctly.

A. GETTING THESIS APPROVALS

The first step is to submit a rough draft to your Thesis Advisor and Co-Advisor or Second Reader for approval. At the same time you may submit a copy to the Thesis Processor for review. Leave sufficient time prior to the deadline to make any required changes. This review process can be time consuming; plan ahead!

You should also complete the Thesis Preparation/Distribution Form and show it to your Advisor to ensure that the proper distribution statement has been applied to your thesis.

After your thesis Advisor and Second Reader (or Co-Advisor) have approved your rough draft, turn in a smooth copy of your draft to your Department/Group Chairman.

After making any changes required by your Chairman, prepare your final draft and obtain the signatures of your Advisor, Second Reader (or Co-Advisor), and Department/Group Chairman. At this time you should also obtain the signature of your Advisor and the Department/Group Chairman on your Thesis Preparation/Distribution Form. You can then make an appointment for final review with the Thesis Processor.

When you go to the your appointment with the Thesis Processor, the following items must be submitted:

- Your signed thesis,
- Special Abstract (two hard copies) and
-one disk with a copy of the special abstract
- Signed Thesis Preparation/Distribution Form, and
- Extra copy of Initial Distribution List

The responsibilities of the Thesis Processors are to assist students in achieving a publishable thesis prepared in accordance with the above guidelines. The office is located in Root Hall, rooms 270A and 270B; the hours are from 8:00 am to 4:00 pm, Mon-Fri. A complete draft copy of your thesis can be dropped off for review any time within the hours

indicated above. Final processing hours are from 8:00 am to 11:00 am and from 1:00 pm to 4:00 pm, Mon-Fri, by appointment only. If you have thesis questions, call x2762 or x3050.

All NPS Theses (except SI classified theses) must be submitted to the Thesis Processing Office for review of conformance to format and content requirements. Upon approval, the Thesis Processing Office will be responsible for signature for Thesis Technical Reports. Doctoral dissertations must be signed by the Division Dean before submitting to the Thesis Processor.

B. PRINTING AND DISTRIBUTION

The Thesis Processing Office arranges for printing and distribution of unclassified/classified theses. This office will mail theses to each addressee on your Distribution List. Distribution to any addressees not named on the Initial Distribution List is the responsibility of you or your advisor.

C. THESIS ORIGINALS

The originals of your thesis are kept for a short time in the Thesis Processing Office after printing and distribution. Two copies of each thesis are sent to the Defense Technical Information Center (DTIC) with a DTIC Accession Notice form. DTIC assigns an AD Number and notifies the Thesis Processing Office. At that time, the original thesis are sent to the Advisor for retention.

D. DEPARTURE PRIOR TO GRADUATION

If you plan to depart NPS prior to graduation, you should notify your thesis advisor as early as possible. If possible, you should complete your thesis early so that it will be in final form prior to your departure. If you cannot complete the thesis in time, you may be required to obtain a thesis extension.

E. THESIS EXTENSIONS

Despite the best of plans, a certain number of students do not finish their thesis before departing NPS. These students are eligible to apply for a thesis extension. Thesis extensions are good for one year. Requests for the first extension are ordinarily approved unless special circumstances warrant disapproval. Subsequent extensions for a second year require a complete justification by the student and certification by the Advisor that the student is making adequate progress and should be able to complete the thesis in the time allotted. Thesis extensions are obtained by submitting a memo through your Curriculum Officer. Consult with your Curriculum Officer for the procedures to be followed.

If you complete your thesis while not in residence at NPS, it is your responsibility to find and designate a party to be responsible for changes and to walk the thesis through the approval process on your behalf. Your advisor may submit the completed thesis if necessary. Consult your Curriculum Officer if you need help processing your thesis while away from NPS.

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VI. CLASSIFIED THESES

Classified research and theses are part of the normal NPS routine and are easily accommodated by the NPS system. Of course, there are additional formatting requirements for a classified thesis or dissertation. This chapter provides information about these additional rules. You should also be familiar with the rules for regular theses that have been given in the earlier chapters of this manual.

A. CLASSIFYING THESIS MATERIAL

It is the responsibility of the author to ensure that a thesis containing national security information is properly classified before being submitted for processing. The Naval Postgraduate School does not have original classification authority. You will, therefore, need to coordinate with your advisor and the research sponsors regarding classification of reports containing new results with national security implications. Theses incorporating information from classified references should be classified accordingly. In cases where questions arise regarding thesis classification, you should consult the NPS Security Manager.

B. CLASSIFIED THESIS COVER

The cover of a classified thesis is much like that of a regular thesis with the addition of an overall security marking, a restrictive distribution statement, and a destruction notice on the bottom. See the following example.

C. TABLE OF CONTENTS

The Table of Contents of your classified thesis is much like the Table of Contents of a regular thesis except that the classification of the headings must also be included in the listing. See the following example.

D. MARKING THE DIVISIONS OF A CLASSIFIED THESIS

The following example illustrates the marking of headings, paragraphs, and other features of classified theses.

SECRET

[NOTE: SECRET for training purposes only; otherwise, unclassified]

NAVAL POSTGRADUATE SCHOOL

Monterey, California



THESIS

[THESIS TITLE] (U)

by

Author's Name

[Month and year of graduation]

Thesis Advisor:

[Name]

[Appropriate Warning Notice(s)]

[Distribution statement]

DESTRUCTION NOTICE

Classified by: ["Multiple
Sources" commonly used]
Declassify on: OADR

For Classified documents follow the procedure in DoD 5220.22m
Industrial Security manual or DoD 5200.1R Information Security
Program Regulation, (Ch. 17 of OPNAVINST 5510.1).

Copy _____ of
_____ copies.
This document
contains _____
pages.

SECRET

[NOTE: SECRET for training purposes only; otherwise, unclassified]

TABLE OF CONTENTS

I. INTRODUCTION [IF TITLE OF ANY HEADING WRAPS TO THE NEXT LINE, RDS AS IN THIS EXAMPLE] (U)	1
II. SECOND FIRST-ORDER HEAD [TITLE] (U)	13
A. (U) SECOND-ORDER HEAD [TITLE]	14
1. (U) Third-order Head [Title]	16
a. (U) Fourth-order Head [Title]	34
b. (U) Second Fourth-order Head [Title]	35
(1) (U) Fifth-order Head [Title]	48
(2) (U) Second Fifth-order Head [Title]	56
B. (U) SECOND SECOND-ORDER HEAD [TITLE]	66
III. THIRD FIRST-ORDER HEAD [TITLE] (U)	73
IV. ETC. (U)	75
APPENDIX. (U) TITLE	83
LIST OF REFERENCES	95
BIBLIOGRAPHY	99
INITIAL DISTRIBUTION LIST	101

Example of a Cover Page for a classified thesis.

SECRET-NOFORN

(For Training Purposes Only; Otherwise Unclassified)

A. (U) SECTION HEADING

(S) The classification marking of section titles is illustrated above. They are marked according to their own classification and do not reflect the overall classification of the material which follows.

1. (U) Subsection Heading

(C) The classification of a paragraph is shown at the beginning of the paragraph. Individual paragraphs are classified according to the information they reveal. Classification is always based on the information being revealed, never on the statement standing alone.

(S) Subdivisions or lists within the paragraph need not be marked if they do not express complete thoughts. For example,

- Systematized digital projection
- Compatible organizational flexibility

a. (U) Sub-subsection Heading

b. (U) Warning Notices

(S-NOFORN) Warning notices are indicated in full on the front cover. Interior pages are be marked with the short form of the control marking, (e.g., NOFORN (Not Releasable to Foreign Nationals), WNINTEL (Warning Notice-Intelligence Sources or Methods Involved), etc.). These caveats follow the classification symbol. Paragraphs are also be marked with the abbreviated form of the warning.

SECRET-NOFORN

(For Training Purposes Only; Otherwise Unclassified)

Examples of classification markings of headings and text in a classified thesis. (Classification markings are for training purposes only; otherwise, the material is unclassified.)

E. PAGE CLASSIFICATION MARKINGS

Each page of a classified thesis must be stamped at the top and bottom with the highest classification of any paragraph from that page. When a classified paragraph carries over to the next page, where subsequent paragraphs are unclassified, that page is stamped in accordance with the classified material being carried over.

Classification stamping (top and bottom) should in boldface type and immediately distinguishable from the text. Self-ink stamps are available in the Thesis Processing Office and in Classified Material Control, Base Police Building 200, Room 206.

F. TOP SECRET THESES

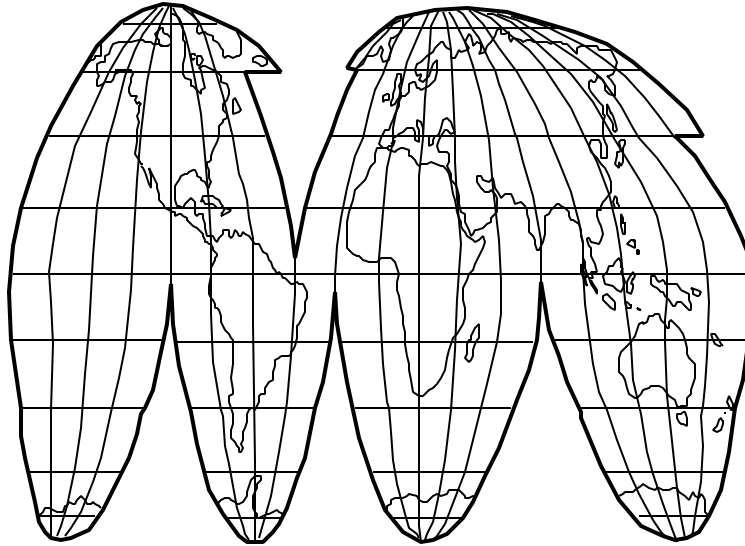
Students writing TOP SECRET theses must contact the Security Manager for special instructions. Students writing TOP SECRET/SCI theses should contact the SCIF in Root Hall for access and special instructions. Documents classified TOP SECRET and above are not processed by the Thesis Processing Office. Only the fully signed Signature Page and the Special Abstract (if unclassified) are turned in to the Thesis Processor.

G. CLASSIFIED FIGURES, TABLES, GRAPHS, PHOTOS, ETC

The current method for marking classified figures, graphs, photos, charts, and similar documents is shown in the next example. The classification of the figure itself appears beneath the document. The classification of the caption is placed immediately preceding it. In the example, the figure itself is SECRET and the caption is unclassified. Table captions follow the same rules.

H. LIST OF REFERENCES

The format of the List of References depends on the citation format. (See the earlier material on citation formats.) In addition, the classification of the title is indicated with a symbol [e.g., (U), (S), (S-NOFORN), etc.] placed after the title and the overall classification of the document is included at the end of the citation (in boldface type). (Underline if boldface is not available on your printer.) See example on page 57.



(SECRET)

[SECRET for training purposes; otherwise unclassified.]

Figure 1. (U) Example of a caption in a classified thesis.

I. INITIAL DISTRIBUTION LIST

The format for the Initial Distribution List of a classified thesis is illustrated in the example on page 58. The Defense Technical Information Center address **must** be included. The Library requires two copies of classified theses.

For accurate and complete Navy addresses, please consult the Standard Navy Distribution List in the Reference Section of the NPS Library. Give the addressee's name in full form. Do not use abbreviations such as "COMNAVESEASYSCOM" in mailing addresses.

Be sure that all state names are written consistently, i.e., VA, CA, or Virginia, California, etc.

J. SOURCE DOCUMENT RECORD

The source document record is a listing of all classified sources used in your thesis. Only documents that are cited and listed in the List of References appear on this record. See the example on page 59.

LIST OF REFERENCES

[Reference by number: (classified):]

1. Jones, G. E., *Applied Operations Research (U)*, pp. 9-11, John Wiley & Sons, Inc., document)
 2. Whitehouse, G. E., *Applied Operations Research (U)*, John Wiley & Sons, Inc., 1976. (**CONFIDENTIAL** document)
 3. Millhouse, A. P., "Naval Warfare (U)," *Modern Naval Tactics (U)*, Naval War Lab, Report NWL-001, January, 1993. (**SECRET** document)
-

[Reference by name: in alphabetical order (classified):]

- Millhouse, A. P., "Naval Warfare (U)," *Modern Naval Tactics (U)*, Naval War Lab, Report NWL-001, January, 1993. (**SECRET** document)
- Rowe, A. P., *One Story of Radar (U)*, pp. 5-9, Cambridge University, 1948. (**SECRET** document)
- Smith, A. B., *Operations Research: An Introduction (U)*, Praeger, 1972. (**CONFIDENTIAL** document)

[Note: For training purposes only; listings are fictitious.]

Example of a List of Classified References.

INITIAL DISTRIBUTION LIST

1. Defense Technical Information Center 2
8725 John J. Kingman Rd., STE 0944
Ft. Belvoir, VA 22060-6218
2. Dudley Knox Library 2
Naval Postgraduate School
411 Dyer Rd.
Monterey, California 93943-5000

[**CAUTION:** A classified thesis will not be sent directly to an individual. It *must* be sent to a command, to the attention of the individual's name and containing a code as in the following example.]

3. Commanding Officer (Code 12)..... 1
Attn: LCDR J.P. Jones
Naval Weapons Center, China Lake
China Lake, California 93555

[**CAUTION:** A classified thesis directed to a non-military activity must be forwarded to it via the military sponsor or other cognizant military office authorized to receive classified material and in a position to determine the eligibility of the ultimate addressee to receive classified material. See the following example.]

4. General Dynamics Corporation..... 1
Attn: W.B. Smith
1002 Vought Way
Costa Mesa, California 94005
via
Navy Plant Representative Office
Attn: LCDR W.T. Door
General Dynamics Corporation
1002 Vought Way
Costa Mesa, California 94005

Example of Distribution List for a classified thesis.

SOURCE DOCUMENT RECORD

[Name, rank, and name of curriculum]

Thesis Title: [Title] (U)

Classification level: [Confidential, Secret, etc.]

The classified references which support the classification of this thesis are:

1. [Itemize for each: Source document title (U), originator, date, classification, classification statement.]

2. [etc.]

3.

4.

etc.

[Note: *All* documents listed here must appear in the List of References; all *classified* documents in your List of References must appear here.]

Example of a Source Document Record

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VII. THESIS TECHNICAL REPORTS

Some theses are published as NPS technical reports, usually to document the research results for a research sponsor or to obtain wider distribution of the results. Your thesis advisor will decide if your thesis should be published as a Thesis Technical Report. The cover page of a Thesis Technical Report is different than a regular thesis and there is an additional release statement page that appears on the inside cover of the report. In addition, an NPS technical report number is assigned to the report and must appear on the cover and on the report documentation page. This chapter presents information on these aspects of a Thesis Technical Report.

A. FRONT COVER

The front cover of a Thesis Technical Report is similar to that of a regular thesis except that it has a report number on the top left portion of the page and the sponsoring agency's name and address on the lower left portion of the page. See the following example.

1. Report Number

Each Technical Report will carries a report number in the upper portion of the cover page. See the following example.

EXAMPLE: NPS-CS-99-001

- CS – Two digit department code of your advisor
- 99 – Two digit number indicating fiscal year of publication
- 001, 002, 003,... – Sequential number assigned by the responsible individual in the department. (It designates the number of the reports in that Department for the year.) Consult your advisor's Department Administrative Support Assistant.

2. Research Sponsoring/Monitoring Agency

The name and address of the Research Sponsoring/Monitoring Agency are required at the bottom left of the cover page, in block 9 of Documentation Report page, and on the Signature Release page. They go after the “PREPARED FOR:” statement and are in boldface type.

[NPS Technical Report Number]

NAVAL POSTGRADUATE SCHOOL
Monterey, California



THESIS

THESIS TITLE

by

Author's Name

Month and year of graduation

Thesis Advisor:

Advisor's Name

Distribution Statement

Prepared for:

[Name of Sponsoring Agency]

[Address of Sponsoring Agency]

Example of a Thesis Technical Report cover page.

B. SIGNATURE RELEASE PAGE

The Signature Release page controls the release of the report and the authorization to make copies. See the following sample.

**NAVAL POSTGRADUATE SCHOOL
Monterey, California 93943**

Rear Admiral [fill in name]
Superintendent

This thesis was prepared in conjunction with research sponsored in part by [insert name of controlling office] under [insert work order or project number]. [Consult your thesis advisor for this information.]

Reproduction of all or part of this report is authorized.

[or]

Reproduction of all or part of this report is not authorized without permission of the Naval Postgraduate School.

[Consult your thesis advisor to determine the appropriate choice of statement.]

Released by:

David W. Netzer, Associate Provost
and Dean of Research

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VIII. PhD DISSERTATIONS

A PhD dissertation differs (in format) from a regular thesis in the cover page and the signature page. This chapter explains the required formats.

A. GRADUATION CEREMONIES

Most PhD candidates complete their requirements before graduation and are awarded their degree in the graduation ceremony. No candidate can participate in the graduation ceremony for the award of the degree until his/her dissertation has received the signature of the Dean of Instruction. In addition, the oral examination must be completed and the final draft of the dissertation must be signed by the entire Committee before the last Council meeting of the quarter. The final, signed version of the dissertation will be submitted to the Thesis Processor no later than *twenty-four hours* before graduation day.

B. COVER PAGE

The Cover page of a dissertation replaces the word “THESIS” with the word “DISSERTATION.” See the following example.

C. SIGNATURE PAGE

The signature page for a dissertation contains signature lines for all members of the PhD committee, the Department Chairman, and the Dean of Instruction. See the following example. You are responsible for obtaining the signature of the Dean of Instruction *before* you bring the dissertation to the Thesis processing Office for its final check.

NAVAL POSTGRADUATE SCHOOL
Monterey, California



DISSERTATION

DISSERTATION TITLE

by

Author's Name

Month and year of graduation

Dissertation Supervisor:

Advisor's Name

[Distribution Statement]

Approved for public release; distribution is unlimited

OCEANOGRAPHIC PHENOMENA

John/Jane Doe
Lieutenant, United States Navy
B.S., United States Naval Academy, 1984
M.S., Naval Postgraduate School, 1996

Submitted in partial fulfillment of the
requirements for the degree of

DOCTOR OF PHILOSOPHY IN [SUBJECT]

from the

NAVAL POSTGRADUATE SCHOOL
[Month and year degree awarded]

Author: _____
John/Jane Doe

Approved by:

John Doe
Professor of [Subject]
Dissertation Supervisor

Joseph Doe
Professor of [Subject]
Dissertation Committee Chair*

John/Jane Doe
Professor of [Subject]

John/Jane Doe
Professor of [Subject]

John/Jane Doe
Professor of [Subject]

John/Jane Doe
Professor of [Subject]

Approved by: _____
John/Jane Doe, Chair, Department of [Subject]

Approved by: _____
Anthony Ciavarelli, Associate Provost for Instruction

*if different from the Dissertation Supervisor.

Example of a Cover page for a PhD dissertation

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APPENDIX. DISTRIBUTION STATEMENTS

Each thesis must be assigned a Distribution Statement from the list below. Except for Distribution Statements A and F, each Distribution Statement is made up of three parts: who can receive the document, the reason and date for the restriction, and who will control future requests for this document. You should discuss this with your thesis advisor, and sponsor if appropriate, and whenever possible use an appropriate external research or thesis sponsors and the sponsor as the controlling authority for future requests.

A. DISTRIBUTION STATEMENTS

This section describes the seven different distribution statements applicable to theses. One of these statements will be selected by the student and thesis advisor and will appear in three places in the thesis:

- Thesis Cover
- Standard Form 298 (Report Documentation Page)
- Signature Page

The seven distribution statements are:

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- b. Concerns high level military, DoD or U.S. Government policy.
- c. Concerns subjects of potential controversy among DoD components or with other federal agencies.
- d. Concerns the following subject areas:
 - (1) New weapons or weapons systems or significant modifications or improvements to existing weapons or systems, equipment or techniques.

- (2) Military operations, operations security, potential operations and significant exercises.
- (3) National command authorities and command posts.
- (4) Military applications in space; nuclear weapons, including nuclear weapons effects research; and high-energy lasers and particle beam technology.
- (5) Material, including that submitted by Defense contractors, involving critical military technology.
- (6) Communications security, signals intelligence, and computer security.
- (7) Others as OSD or higher authority may designate.

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C. THESIS PREPARATION/DISTRIBUTION WORKSHEET

The rest of this Appendix contains a sample copy of the Thesis Preparation/Distribution Form that is used by you and your thesis advisor to determine the proper distribution statement to use on your thesis. A completed, *signed* copy of this worksheet is required when you turn in your thesis to the Thesis Processor. Copies of this form and worksheet are available in your Curriculum Office.

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Via: Department Chairman

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Date

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Date

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11. Does this thesis contain patentable information on systems or processes in the developmental or concept stage, which must be protected to prevent premature dissemination?

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A. If in doubt, submit for review.

B. Is or has the potential to become an item of national or international interest or has foreign policy or foreign relations implications.

C. Concerns high level military or DoD policy, or U.S. Government policy.

D. Concerns subjects of potential controversy among DoD components or with other federal agencies.

E. Concerns the following subject areas:

(1) New weapons, weapons systems, significant modifications or improvements to existing weapons, systems, equipment or techniques.

(2) Military operations, operations security, potential operations, and significant exercises.

- (3) National command authorities and command posts.
- (4) Military applications in space; nuclear weapons, including nuclear weapons effects research; chemical warfare; defensive biological and toxin research; and high-energy lasers and particle beam technology.
- (5) Material, including that submitted by Defense contractors, involving critical military technology.
- (6) Communications security, signals intelligence, and computer security.
- (7) Others as OASD or higher authority may designate.

Submit original to Thesis Processor and 6 copies to the Security Manager who in turn will send it to the Assistant Secretary of Defense (Public Affairs) for review and Clearance.

If still unsure of the correct distribution statement, refer questions to the Security Manager (NPS Code 0052, x2450).

Attachment(s) required with this form:

- Unclassified theses: Attach one (1) copy of the Initial Distribution List.
- Classified theses: Attach two (2) copies of the Initial Distribution List.

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INDEX

Abbreviations	Reference	23
Upper-case first letter	Civilians	8
Abstract	Classification authority	
Page	Original	53
Abstract page	Classification markings	
Acknowledgement	Page	57
Example	Classified	
Acknowledgment	Figures	57
Appendices	Graphs	57
3, 19, 37	List of References	57
Format	Photos	57
Appendix	Reference List	59
Example	Tables	57
Approvals	Theses	53
Bibliography	Classified thesis	1
3, 38	Distribution List, example	60
Body	Marking divisions	53
of thesis	Page markings	57
thesis	Source document record	58
Breaks	Table of Contents, example	55
Line	Classifying material	53
Page	Consultants	8
Bullet list	Cover	
Caption	Classified thesis	53
Figure	Front	5
Figure, example	Thesis Technical Report	63
Figures	Thesis Technical report cover	64
Figures, format	Cover page	5
Chapter headings	PhD dissertation	67
Format	Departure prior to graduation	50
Chapters	Disclaimer Statement	15
19	Dissertation	1
Charts	Cover page	67
Classified	Signature page	67
57	Distribution	50
Citation	Distribution List	39
by name	Example, classified thesis	60
by number	Distribution statement	40, 71
Formats, example		
Styles		
Citations		
Format		
23		

Drawings.....	30	Eagle	5
e.g.....	35	Elements	3
Endnotes	3, 25	Headings for Subdivisions of Sub-	
Equations	30	subsections	21
Example		List of References	37
Acknowledgement	18	List of tables	17
Appendix	37	Lists.....	32
Citation formats	24	Page	21
Classified Table of Contents.....	55	Quotations	32
Distribution list, classified thesis	60	Reference citations	23
Figure.....	26	Section headings	21
Figure caption.....	26	Signature page	8
List formats	33	Special Abstract.....	42
List of abbreviations, acronyms, and		Sub-subsection headings	21
symbols	18	Subsection headings	21
List of classified references.....	59	Table of contents	15
List of Figures.....	17	Thesis Technical Report cover.....	63
List of References.....	38	Formulas.....	30
List of tables.....	17	FRONT COVER	3, 5
Signature Release page (Thesis		Getting started.....	1
Technical Report).....	65	Glossary	3
Source Document Record.....	61	Graduation ceremony	
Thesis Technical Report cover	64	PhD recipients.....	67
Extensions		Graphs.....	30
Thesis.....	50	Classified.....	57
Figure		Headings	
Page break.....	29, 34	Section	21
Figures	25	Subsection.....	21
Caption.....	26	Headings for Subdivisions of Sub-	
Caption format	26	subsections	21
Classified.....	57	Hyphen.....	33
Font size.....	21	i.e.....	35
Footnotes.....	3, 24	Indentations	22
Format	25	Initial Distribution List.....	3, 39
Form 298.....	3	Introduction	3
Format		Introductory Material	3, 5
Appendices	37	Landscape figure	
Chapter headings	19	Caption.....	29
Citations, example	24	Limited Distribution.....	1
Figure captions	26, 29	Line breaks.....	33
Footnotes.....	25	Line spacing.....	23

List		List of Abbreviations, Acronyms, and Symbols	3
Bullet.....	33	Example.....	18
Numbered.....	33		
of symbols, acronyms, and/or abbreviations.....	17		
List of Classified References		Page	
Example	59	Breaks.....	33
List of figures.....	3, 16	Format.....	21
Example	17	Margins	21
List of References.....	37	Numbering.....	22
Classified.....	57	Report documentation.....	8
Example	38	Page markings	
Format	37	Classified thesis	57
List of symbols, acronyms, and/or abbreviations.....	17	Paste-ons.....	31
List of Tables.....	3	PhD dissertation.....	1, 67
Example	17	PhD recipients	
Format	17	Graduation ceremonies.....	67
List of tables	17	Photos	
Lists	32	Classified.....	57
Example	33	Plagiarism	23
Format	32	Printing	50
Margins	21	Procedural Matters	49
Markings		Quotations	32
Divisions of a Classified thesis	53	Format.....	32
Material		Reference	
After body of thesis	37	Citations	23
Miscellaneous rules.....	34	Reference Citations	
Name		Format.....	23
Author(s).....	5	References.....	3
Numbered list.....	33	Classified, List.....	59
Numbering		List of.....	37
Page.....	22	Reimbursement	2
Sections, subsections, etc.....	19	maximum	2
Numbers	34	Report documentation page	3, 8
Official page count	2	Report number	
Organization		Thesis Technical Report	63
thesis	3	Reproductions	
Originals		Figure	30
Thesis.....	50	Research Sponsoring/Monitoring Agency	
Oversized material.....	30	Thesis Technical Report	63
		Section	

Headings	21
Section headings	
Format	21
Sections	19
Numbering	19
of thesis	19
Signature page	3
PhD dissertation	67
Signature Release	
Thesis Technical Report.....	65
Signature Release page	
Thesis Technical Report.....	65
Signature Release page (Thesis Technical Report)	
Example	65

Source document record.....	58	Thesis Technical Reports.....	63
Example	61	Thesis typist	2
Special abstract	42		
Civilians.....	8	Top Secret	
Format	42	Thesis	57
Standard Form 1164	2	Typist	
Statement		Thesis	2
Distribution.....	40	Unclassified thesis	1
Styles		Word processor	
Citation	23	choosing	2
Sub-subsection			
Headings	21		
Sub-subsection headings			
Format	21		
Sub-subsections	19		
Subsection headings.....	21		
Format	21		
Subsections	19		
Tab settings	22		
Table			
Page break.....	29, 34		
Table of Contents	3, 15		
Checking listings	35		
Classified.....	53		
Example, classified thesis	55		
Format	15		
Tables	29		
Text			
Drawings.....	30		
Thesis			
Sections	19		
Thesis body.....	19		
Thesis Classification Worksheet	1, 40, 49		
Thesis Organization.....	3		
Thesis Processor	49		
Location.....	49		
Thesis Technical Report.....	1		
Cover.....	63		
Cover, example	64		
Signature Release Page	65		